

HEWLETT-PACKARD COMPANY
Intellectual Property Administration
P.O. Box 272400
Fort Collins, Colorado 80527-2400

PATENT APPLICATION #3

ATTORNEY DOCKET NO. 10014417

IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): KEMAL GULER, TONGWEI LIU, HSIU-KHUERN TANG, KAY-YUT CHEN, FEREDYDOON SAFAT,
REN WU
Serial No.: 09/902,928 Examiner:

Filing Date: 7/10/01

Group Art Unit:

Title: METHOD AND SYSTEM FOR SETTING AN OPTIMAL RESERVE PRICE FOR AN AUCTION

COMMISSIONER FOR PATENTS
Washington, D.C. 20231

TRANSMITTAL LETTER FOR RESPONSE/AMENDMENT

Sir:

Transmitted herewith is/are the following in the above-identified application:

- () Response/Amendment () Petition to extend time to respond
() New fee as calculated below () Supplemental Declaration
() No additional fee (Address envelope to "Box Non-Fee Amendments")
(X) Other: SUBMISSION OF PROPOSED DRAWING AMENDMENTS (fee \$)

CLAIMS AS AMENDED BY OTHER THAN A SMALL ENTITY						
(1) FOR	(2) CLAIMS REMAINING AFTER AMENDMENT	(3) NUMBER EXTRA	(4) HIGHEST NUMBER PREVIOUSLY PAID FOR	(5) PRESENT EXTRA	(6) RATE	(7) ADDITIONAL FEES
TOTAL CLAIMS	24	MINUS	24	= 0	X \$18	\$ 0
INDEP. CLAIMS	3	MINUS	3	= 0	X \$80	\$ 0
[] FIRST PRESENTATION OF A MULTIPLE DEPENDENT CLAIM					+ \$270	\$ 0
EXTENSION FEE	1ST MONTH \$110.00	2ND MONTH \$390.00	3RD MONTH \$890.00	4TH MONTH \$1390.00		\$ 0
OTHER FEES						\$
TOTAL ADDITIONAL FEE FOR THIS AMENDMENT						\$ 0

Charge \$ 0 to Deposit Account 08-2025. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 08-2025 pursuant to 37 CFR 1.25. Additionally please charge any fees to Deposit Account 08-2025 under 37 CFR 1.16, 1.17, 1.19, 1.20 and 1.21. A duplicate copy of this sheet is enclosed.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit: 10/22/01

Typed Name: Janeen M. Stolar

Signature: *Janeen M. Stolar*

Respectfully submitted,

KEMAL GULER, et al.

By *Lawrence R. Goerke*

Lawrence R. Goerke

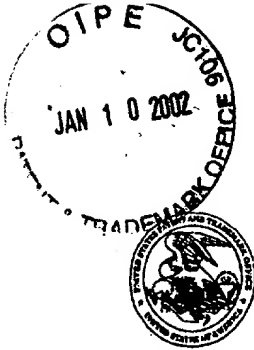
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Reg. No. 45,927

Date: 10/22/01

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Page 1 of 1

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COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/902,928	07/10/2001	Kemal Guler	10014417

CONFIRMATION NO. 9251

FORMALITIES LETTER

HEWLETT-PACKARD COMPANY
Intellectual Property Administration
P.O. Box 272400
Fort Collins, CO 80527-2400

US ACTION

DUE DATE

Paper Dated

OA Final

Msg. Pt. Dwgs

Appeal Issue Fee

Other *corrected appln*

10/29/01
0000000006489050*

Date Mailed: 08/29/2001

NOTICE TO FILE CORRECTED APPLICATION PAPERS

Filing Date Granted

This application has been accorded an Application Number and Filing Date. The application, however, is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given **TWO MONTHS** from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a)

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawings contain excessive text. Suitable descriptive legends may be used, or may be required by the Examiner where necessary for understanding of the drawing but should contain as few words as possible (see 37 CFR 1.84(o));

*A copy of this notice **MUST** be returned with the reply.*

Thank

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DOCUMENT CLASSIFICATION BARCODE SHEET



Preliminary Amendments

200701082620660



73. #4
#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

GULER, Kemal, et al.

Serial No. 09/902,928

Filing Date: JULY 10, 2001

For: METHOD AND SYSTEM
FOR SETTING AN OPTIMAL
RESERVE PRICE FOR AN
AUCTION

Examiner:

Unit:

PRELIMINARY AMENDMENT

Hon. Assistant Commissioner for Patents

Washington, D.C. 20231

Dear Sir:

In response to the Notice to File Corrected Application Papers mailed on August 29, 2001, a copy of which is returned herewith, please amend the above captioned patent application as follows and consider the remarks herein. No new matter has been added as a result of this Preliminary Amendment.

IN THE FIGURES

Please amend Figures 12 and 15 as described in the Submission of Proposed Drawing Amendments, submitted herewith.

IN THE SPECIFICATION

On page 8, lines 8-10, please delete the reference to Figures 11.A-11.F. In its place, please add the following:

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Figure 11 is a diagram depicting a database of historical auction data, in accordance with one embodiment of the present invention.

On page 29, lines 2-12, under the caption "Exemplary Database," please delete the entire paragraph. In its place, please add the following:

The exemplary database 1100 herein contains information about past auctions and market participants. In one embodiment, database 1100 may be interconnected with computer system 1000 by an interconnecting

functionality 1101, which may be any communicative coupling agent, wire-based or wireless. In another embodiment, database 1100 may be disposed as an integral part of computer system 1000, interconnected with other functionalities of computer system 1000 by a system bus (e.g., bus

1001; Fig. 10). In one embodiment, access between database 1100 and computer system 1000 may be effectuated via a network (e.g., network 1027; Fig. 11) and/or via the Internet (e.g., Internet 1099; Fig. 11).

In one embodiment of the present invention, the following variables are observed for each auction in the database, shown in Figure 11, as listed in Table B, below. Auction data includes the auction identification and other characteristics thereof. Information about the auctioned item includes its identity, its name, quantity, description, and other attributes. The market mechanism contains data about the auction format, reserve price and other mechanism attributes. Bidders are identified by bidder and segment identity and other attributes. Bids are categorized by the identities of participating bidders and the bids submitted by them. Outcomes listed include assigned

payments and quantities for each bidder. These are detailed below in Table B.

Table B

HISTORICAL AUCTION DATA REPOSITORY

Historical Auction Data Repository contains data on past auctions. For the purposes of one embodiment of the present invention, we assume that the following variables are observed for each auction in the database.

Auction:

Auction ID

Further Auction Characteristics

Auctioned Item:

Item ID

Name

Quantity

Description

Further Item Characteristics

Mechanism:

Auction Format

Reserve Price

Further Mechanism Characteristics

Bidders:

Bidder ID

Segment ID

Further Bidder Characteristics

Bids:

Identities of Participating

Bids submitted by participating bidders

Outcomes:

Assigned payments for each bidder

Assigned quantities for each bidder

AUCTION CHARACTERISTICS:

Auction ID

Item ID

Item Name

Quantity

Dates:

Announcement

Start

Close

Seller/Buyer ID

Auction Mechanism Characteristics

Invited Bidders' Ids

Participating bidders' Ids and Bids, Quantities

Outcome:

Assigned Price for each bidder

Assigned Quantities for Each Bidder

Fees:

Shipping & Handling

Taxes

Auctioneer Fees:

Posting Fee

Ad Valorem Fee

BIDS:

Bid ID

Auction ID

Item ID

Bidder ID

Bid Time Stamp

Price Bid

Bid Type

Proxy

Direct

Quantity Desired

Minimum Quantity

Currency

MECHANISM CHARACTERISTICS

Format

English

Dutch

Sealed Bid First Price

Sealed Bid Second Price

Vickrey

etc.

Buy/Sell

Entry Rule

Open

Free

Fee

Invitation

Free

Fee

Reserve Price

Secret

Open

Start Price

Bid Increment

Fixed

Relative

Closing Rule

Inactivity Time

Fixed Closing Time

ITEM CHARACTERISTICS

Item ID

Name

Description

Location

SKU

Manufacturer

Model Number

Condition

Warranty

Weight

Weight Unit

Measurement Unit

Currency

List Price

etc.

BIDDER CHARACTERISTICS

ID

Segment ID

Name

Address

General Information

Socio-Demographic Information

etc.

SELLER/BUYER CHARACTERISTICS

Seller/Buyer ID

Name

Address

General Information

Socio-Demographic Information

etc.

The marked-up changes to the specification is attached hereto and captioned
“VERSION WITH MARKINGS TO SHOW CHANGES MADE.”

REMARKS

The Notice to File Corrected Application Papers, dated August 29, 2001, required substitute drawings for original drawings containing excess text. Figures 11.A -11.F were deleted and replaced with a Figure 11, per Submission of Proposed Drawing Amendments, submitted herewith under a separate caption. The text of the Specification, specifically the Brief Description of the Figures and Detailed Description of the Invention, was amended herein accordingly. Specifically, the textual content of deleted Figures 11.A-11.F was placed into the text of the Detailed Description of the Invention in Tabular format.

No new matter has been added as a result of these amendments. The Examiner's review and approval is respectfully requested.

Please charge our deposit account No. 23-0085, for any unpaid fees.

Respectfully submitted,

WAGNER, MURABITO & HAO, LLP

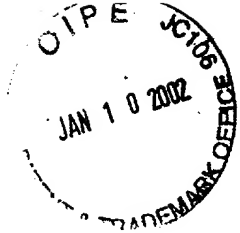
Dated: Oct. 22, 2001



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VERSION WITH MARKINGS TO SHOW CHANGES MADE

[Figures 11.A-11.F are diagrams depicting the content array of a database of historical auction data, in accordance with one embodiment of the present invention.]

Figure 11 is a diagram depicting a database of historical auction data, in accordance with one embodiment of the present invention.

[The exemplary database herein contains information about past auctions and market participants. In one embodiment of the present invention, the following variables are observed for each auction in the database, as shown in Figure 11. Auction data includes the auction identification and other characteristics thereof. Information about the auctioned item includes its identity, its name, quantity, description, and other attributes. The market mechanism contains data about the auction format, reserve price and other mechanism attributes. Bidders are identified by bidder and segment identity and other attributes. Bids are categorized by the identities of participating bidders and the bids submitted by them. Outcomes listed include assigned payments and quantities for each bidder. These are detailed in Figure 11.A through Figure 11.F.]

The exemplary database 1100 herein contains information about past auctions and market participants. In one embodiment, database 1100 may be interconnected with computer system 1000 by an interconnecting functionality 1101, which may be any communicative coupling agent, wire-based or wireless. In another embodiment, database 1100 may be disposed as an integral part of computer system 1000, interconnected with other functionalities of computer system 1000 by a system bus (e.g., bus 1001; Fig. 10). In one embodiment, access between database 1100 and

computer system 1000 may be effectuated via a network (e.g., network 1027; Fig. 11) and/or via the Internet (e.g., Internet 1099; Fig. 11).

In one embodiment of the present invention, the following variables are observed for each auction in the database, shown in Figure 11, as listed in Table B, below. Auction data includes the auction identification and other characteristics thereof. Information about the auctioned item includes its identity, its name, quantity, description, and other attributes. The market mechanism contains data about the auction format, reserve price and other mechanism attributes. Bidders are identified by bidder and segment identity and other attributes. Bids are categorized by the identities of participating bidders and the bids submitted by them. Outcomes listed include assigned payments and quantities for each bidder. These are detailed below in Table B.

Table B

HISTORICAL AUCTION DATA REPOSITORY

Historical Auction Data Repository contains data on past auctions. For the purposes of one embodiment of the present invention, we assume that the following variables are observed for each auction in the database.

Auction:

Auction ID

Further Auction Characteristics

Auctioned Item:

Item ID

Name

Quantity

Description

Further Item Characteristics

Mechanism:

Auction Format

Reserve Price

Further Mechanism Characteristics

Bidders:

Bidder ID

Segment ID

Further Bidder Characteristics

Bids:

Identities of Participating

Bids submitted by participating bidders

Outcomes:

Assigned payments for each bidder

Assigned quantities for each bidder

AUCTION CHARACTERISTICS:

Auction ID

Item ID

Item Name

Quantity

Dates:

Announcement

Start

Close

Seller/Buyer ID

Auction Mechanism Characteristics

Invited Bidders' Ids

Participating bidders' Ids and Bids, Quantities

Outcome:

Assigned Price for each bidder

Assigned Quantities for Each Bidder

Fees:

Shipping & Handling

Taxes

Auctioneer Fees:

Posting Fee

Ad Valorem Fee

BIDS:

Bid ID

Auction ID

Item ID

Bidder ID

Bid Time Stamp

Price Bid

Bid Type

Proxy

Direct

Quantity Desired

Minimum Quantity

Currency

MECHANISM CHARACTERISTICSFormatEnglishDutchSealed Bid First PriceSealed Bid Second PriceVickreyetc.Buy/SellEntry RuleOpenFreeFeeInvitationFreeFeeReserve PriceSecretOpenStart PriceBid IncrementFixedRelativeClosing RuleInactivity TimeFixed Closing Time

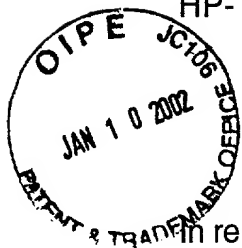
ITEM CHARACTERISTICSItem IDNameDescriptionLocationSKUManufacturerModel NumberConditionWarrantyWeightWeight UnitMeasurement UnitCurrencyList Priceetc.BIDDER CHARACTERISTICSIDSegment IDNameAddressGeneral InformationSocio-Demographic Informationetc.

SELLER/BUYER CHARACTERISTICSSeller/Buyer IDNameAddressGeneral InformationSocio-Demographic Informationetc.

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HP-10014417



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

GULER, Kemal; et al.

Serial No. 09/902,928

Filing Date: July 10, 2001

For: METHOD AND SYSTEM FOR
SETTING AN OPTIMAL
RESERVE PRICE
FOR AN AUCTION

Examiner:

Unit:

SUBMISSION OF PROPOSED DRAWING AMENDMENTS

Hon. Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

In response to the Notice to File Corrected Application Papers mailed on August 29, 2001, the Applicant respectfully files herewith the following Submission of Proposed Drawing Amendments. Specifically, the Applicants hereby respectfully request that Figures 11.A-11.F be deleted and that the proposed Figure 11 attached hereto be added.

No new matter has been introduced as a result of this proposed amendment.
The Examiner's review and approval thereof is respectfully requested.

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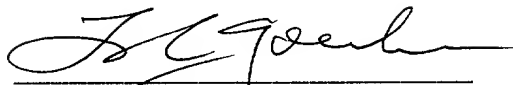
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Dated: Oct. 22, 2001

Respectfully submitted,

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SERIAL No. 09/902,928
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Examiner:
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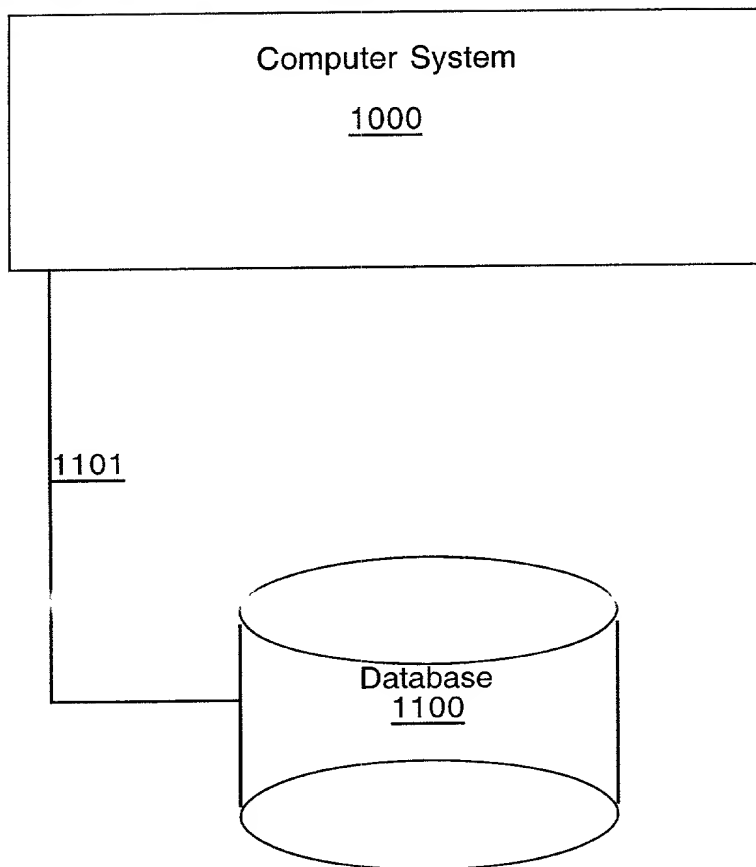


Fig. 11

HISTORICAL AUCTION DATA REPOSITORY

Historical Auction Data Repository contains data on past auctions. For the purposes of present invention, we assume that the following variables are observed for each auction in the database.

Auction:

Auction ID

Further Auction Characteristics

Auctioned Item:

Item ID

Name

Quantity

Description

Further Item Characteristics

Mechanism:

Auction Format

Reserve price

Further Mechanism Characteristics

Bidders:

Bidder ID

Segment ID

Further Bidder Characteristics

Bids:

Identities of participating bidders

Bids submitted by participating bidders

Outcomes:

Assigned payments for each bidder

Assigned quantities for each bidder

FIGURE 11.A

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AUCTION CHARACTERISTICS:

Auction ID

Item ID

Item Name

Quantity

Dates:

Announcement

Start

Close

Seller/Buyer ID

Auction Mechanism Characteristics

Invited Bidders' IDs

Participating Bidders' IDs and Bids, Quantities

Outcome:

Assigned Price for each bidder

Assigned Quantities for each bidder

Fees:

Shipping & Handling

Taxes

Auctioneer Fees:

Posting Fee

Ad Valorem Fee

FIGURE 11.B

BIDS:

Bid ID
Auction ID
Item ID
Bidder ID
Bid Time Stamp
Price Bid
Bid Type
 Proxy
 Direct
Quantity Desired
Minimum Quantity
Currency

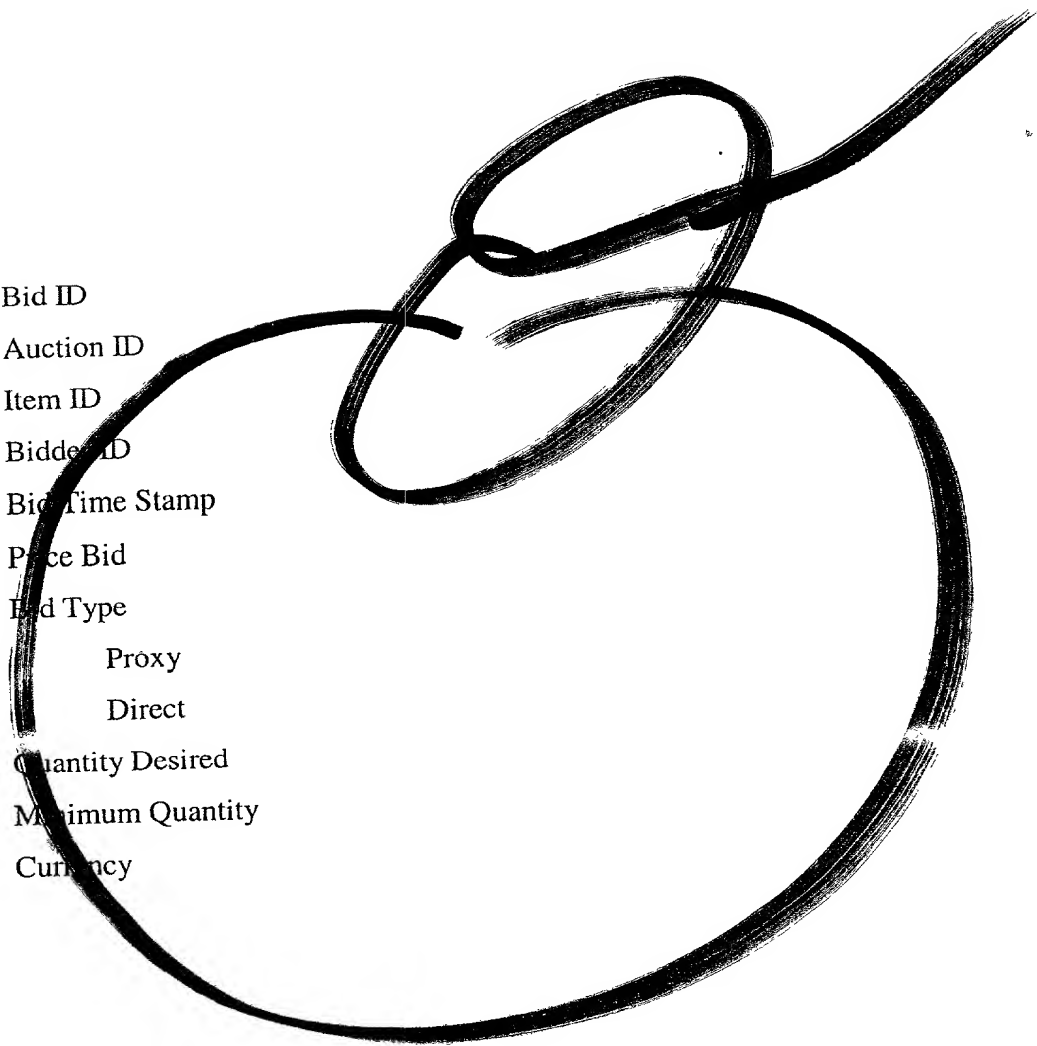


FIGURE 11.C

MECHANISM CHARACTERISTICS:

Format

English

Dutch

Sealed Bid First Price

Sealed Bid Second Price

Vickrey

etc

Buy/Sell

Entry Rule

Open

Free

Fee

Invitation

Free

Fee

Reserve Price

Secret

Open

Start Price

Bid Increment

Fixed

Relative

Closing Rule

Inactivity Time

Fixed Closing Time

FIGURE 11.D

200710" 82620560

ITEM CHARACTERISTICS:

Item ID
Name
Description
Location
SKU
Manufacturer
Model Number
Condition
Warranty
Weight
Weight Unit
Measurement Unit
Currency
List Price
etc

FIGURE 11.E

09502928.011002

BIDDER CHARACTERISTICS:

ID
Segment ID
Name
Address
General Information
Socio Demographic Information
Etc

SELLER/BUYER CHARACTERISTICS:

Seller/Buyer ID
Name
Address
General Information
Socio Demographic Information
Etc

FIGURE 11.F